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PTO/SB/21 (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
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TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	09/887,606	
	Filing Date	June 22, 2001	
	First Named Inventor	Scarpino, F.	
	Group Art Unit	2644	
	Examiner Name	Technology Center 2600	
Total Number of Pages in This Submission	4	Attorney Docket Number	TRD0211A

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Center 2600

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Notification of Change in Status in Subject Application Pursuant to 37 CFR 1.27(g)(2) and Payment of Deficiency Owed Pursuant to 37 CFR 1.28(c); and
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	Return postcard
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Robert L. Showalter
Signature	
Date	Dec. 12, 2001

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: Dec. 12, 2001	
Typed or printed name	Robert L. Showalter
Signature	
Date	12/12/01

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PTO/SB/17 (10-01)
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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 517)

Complete if Known

Application Number	09/887,606
Filing Date	June 22, 2001
First Named Inventor	Scarpino, F.
Examiner Name	
Group Art Unit	2644
Attorney Docket No.	TRD0211A

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METHOD OF PAYMENT

- ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
Deposit Account Number
Deposit Account Name
☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☐ Applicant claims small entity status. See 37 CFR 1.27
- ☒ Payment Enclosed:
☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	<input type="text"/>
106 330	206 165	Design filing fee	<input type="text"/>
107 510	207 255	Plant filing fee	<input type="text"/>
108 740	208 370	Reissue filing fee	<input type="text"/>
114 160	214 80	Provisional filing fee	<input type="text"/>

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
<input type="text"/>	-20** = <input type="text"/>	X <input type="text"/>	= <input type="text"/>
Independent Claims	-3** = <input type="text"/>	X <input type="text"/>	= <input type="text"/>
Multiple Dependent		<input type="text"/>	= <input type="text"/>

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

*or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	<input type="text"/>
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	<input type="text"/>
139 130	139 130	Non-English specification	<input type="text"/>
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	<input type="text"/>
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	<input type="text"/>
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	<input type="text"/>
115 110	215 55	Extension for reply within first month	<input type="text"/>
116 400	216 200	Extension for reply within second month	<input type="text"/>
117 920	217 460	Extension for reply within third month	<input type="text"/>
118 1,440	218 720	Extension for reply within fourth month	<input type="text"/>
128 1,960	228 980	Extension for reply within fifth month	<input type="text"/>
119 320	219 160	Notice of Appeal	<input type="text"/>
120 320	220 160	Filing a brief in support of an appeal	<input type="text"/>
121 280	221 140	Request for oral hearing	<input type="text"/>
138 1,510	138 1,510	Petition to institute a public use proceeding	<input type="text"/>
140 110	240 55	Petition to revive - unavoidable	<input type="text"/>
141 1,280	241 640	Petition to revive - unintentional	<input type="text"/>
142 1,280	242 640	Utility issue fee (or reissue)	<input type="text"/>
143 460	243 230	Design issue fee	<input type="text"/>
144 620	244 310	Plant issue fee	<input type="text"/>
122 130	122 130	Petitions to the Commissioner	<input type="text"/>
123 50	123 50	Processing fee under 37 CFR 1.17(q)	<input type="text"/>
126 180	126 180	Submission of Information Disclosure Stmt	<input type="text"/>
581 40	581 40	Recording each patent assignment per property (times number of properties)	<input type="text"/>
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	<input type="text"/>
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	<input type="text"/>
179 740	279 370	Request for Continued Examination (RCE)	<input type="text"/>
169 900	169 900	Request for expedited examination of a design application	<input type="text"/>
Other fee (specify) Deficiency Owed Pursuant to 37 CFR 1.28(c)			517

*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$ 517)

SUBMITTED BY

Name (Print/Type)	Robert L. Showalter	Registration No. (Attorney/Agent)	33,579	Complete (if applicable)	Telephone	937/438-6848
Signature				Date	2/12/01	

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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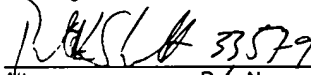
Technology Center 2600

Application of

Applicant(s) : Scarpino, et al.
Serial No. : 09/887,606
Filed : June 22, 2001
Title : FREQUENCY RESPONSES, APPARATUS AND
METHODS FOR THE HARMONIC ENHANCEMENT
OF AUDIO SIGNALS
Group Art Unit : 2644
Docket : TRD0211A

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being
deposited with the United States Postal Service
as first class mail in an envelope addressed to:
Assistant Commissioner for Patents,
Washington, D.C. 20231 on December 12, 2001.


Attorney Reg. No.

Assistant Commissioner for Patents
Washington, DC 20231

Sir:

Notification of Change in Status in Subject Application
Pursuant to 37 CFR 1.27(g)(2) and Payment of
Deficiency Owed Pursuant to 37 CFR 1.28(c)

The assignee of the present application entered into a license agreement with a concern having more than 500 employees on April 19, 2001. The license agreement involves the subject matter of the present application. Accordingly, the status of the present application should be changed from "small" to "large."

The status of the assignee of the present application was established in error, but in good faith, as a "small entity" when the application was filed. However, because the assignee had entered into a license agreement concerning the subject matter of this application prior to the filing date of this application, the filing fee should have been paid at the large entity rate.

Adjustment date: 01/10/2002 MBERHE
06/27/2001 MBIZUNES 00000051 110978 09887606
01 FC:201 355.00 CR
02 FC:202 120.00 CR
01/10/2002 MBERHE 00000103 110978 09887606
01 FC:101 223.00 CH 517.00 OP
02 FC:102 252.00 CH

Itemization of the Deficiency Payment as Required by 37 CFR 1.28(c)(2)

Type of Fee Erroneously Paid – Filing Fee (Including Extra Claim Fee for 3 Independent Claims)

Current Fee Amount – (Filing Fee) \$740.00 + (Extra Claim Fee for 3 Independent Claims) \$252 = \$992.00

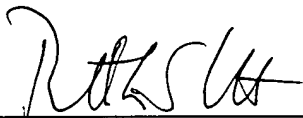
Small Entity Fee Paid on June 22, 2001 -- \$475.00

The Deficiency Amount Owed-- \$517.00

Applicants respectfully request that the status of the present application be changed from "small" to "large." Applicants further respectfully request that the errors in payment of the above fees be excused and the enclosed sum of \$517.00 be accepted as payment for the deficiency owed.

Respectfully submitted,

STEVENS & SHOWALTER, L.L.P.

By 
Robert L. Showalter, Reg. No. 33,579

7019 Corporate Way
Dayton, Ohio 45459-4238
Telephone: (937) 438-6848
Facsimile: (937) 438-2124
Email: showalter@speakeasy.net